

Form PTO-1449 (Substitute)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		Attorney Docket Number HVWD-01001US0		Serial/Patent Number 09/648,211	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use several sheets if necessary)				Applicant/Patent Owner John S. Flowers et al.			
				Filing/Issue Date August 25, 2000		Group Art Unit Unknown	
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date
AM		5,892,903	04/06/99	Klaus	395	87.01	09/12/96
AM		5,136,523	08/04/92	Landers	395		03/26/91
AM		5,278,901	01/11/94	Shieh et al.	380	4	04/30/92
AM		5,802,320	09/01/98	Baehr et al.	395	200.79	05/18/95
<b>FOREIGN PATENT DOCUMENTS</b>							
Examiner Initial		Document Number	Date	Country	Class	Subclass	Trans- lation Yes   No
<b>OTHER DOCUMENTS (Include Author, Title, Date, Pertinent pages, etc.)</b>							
AM		Rebecca Bace, Infidel, Inc. "An Introduction to Intrusion Detection and Assessment", 1999, 38 pages.					
AM		Fyodor, "Remote OS detection via TCP/IP Stack FingerPrinting", October 18, 1998, 10pages.					
Examiner				Date Considered 12/2/02			
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							
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*2 = Copy not submitted because it was submitted in prior application SN / , filed , 19 .							

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Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application No.	09/648,211
				Filing Date	August 25, 2000
				First Named Inventor	John S. Flowers <i>et al.</i>
				Art Unit	2131
				Examiner Name	Gail O. Hayes
Sheet	1	of	3	Attorney Docket Number	23327-06895


U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Document No. Number - Kind Code <sup>2</sup> (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
AM	A1	US- 5,278,901	01-11-1994	Shieh et al
AM	A2	US- 5,796,942	08-18-1998	Esbensen
AM	A3	US- 5,798,706	08-25-1998	Kraemer et al.
AM	A4	US- 5,892,903	04-06-1999	Klaus
AM	A5	US- 5,931,946	08-03-1999	Terada et al.
AM	A6	US- 5,958,015	09-28-1999	Dascalu
AM	A7	US- 5,991,881	11-23-1999	Conklin et al.
AM	A8	US- 6,185,689 B1	02-06-2001	Todd, Sr. et al.
AM	A9	US- 6,263,444 B1	07-17-2001	Fujita
AM	A10	US- 6,279,113 B1	08-21-2001	Vaidya
AM	A11	US- 6,282,546 B1	08-28-2001	Gleichauf et al.
AM	A12	US- 6,298,445 B1	10-02-2001	Shostack et al.
AM	A13	US- 6,301,668 B1	10-09-2001	Gleichauf et al.
AM	A14	US- 6,321,338 B1	11-20-2001	Porras et al.
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AM	A16	US- 6,330,562 B1	12-11-2001	Boden et al.
AM	A17	US- 6,343,362 B1	01-29-2002	Ptacek et al.
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AM	A20	US- 6,363,489 B1	03-26-2002	Comay et al.
AM	A21	US- 6,370,648 B1	04-09-2002	Diep
AM	A22	US- 6,408,391 B1	06-18-2002	Huff et al.
AM	A23	US- 2002/0133721 A1	09-19-2002	Adjaoute

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Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>
AM	B1	WO 01/31420 A2	05-03-2001	Visa International Service Association	
AM	B2	WO 02/45380 A2	06-06-2002	Lancop, Inc.	

Examiner Signature		Date Considered	12/2/02
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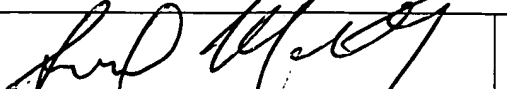
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				Filing Date	August 25, 2000
				First Named Inventor	John S. Flowers <i>et al.</i>
				Art Unit	2131
				Examiner Name	Gail O. Hayes
Sheet	2	of	3	Attorney Docket Number	23327-06895

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**OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
JP	C1	Abstract, W. Erhard, et al., "Network Traffic Analysis and Security Monitoring With UniMon", Proceeding of the IEEE Conference on High Performance Switching and Routing, 2000, ATM 2000, pp 439 – 46 (June 2000).	
JP	C2	Abstract, Dept. of Comput. Sci., California Univ., Davis, CA, USA, "A Methodology For Testing Intrusion Detection Systems", IEEE Transactions on Software Engineering, Vol. 22, Issue 10, pp 719-29 (October 1996).	
JP	C3	Abstract, Mounji A. Le Charlier, et al., "Distributed Audit Trail Analysis", Proceeding of the Symposium on Network and Distributed System Security, 1995, pp 102 – 12 (Feb 16 – 17, 1995).	
JP	C4	Abstract, L.T. Heberlein, et al., "A Network Security Monitor" Proceeding of the 990 IEEE Computer Society Symposium on Research in Security and Privacy, pp 296-04, (May 7 – 9, 1990).	
JP	C5	Abstract, Xinzhou Quin et al., "Integrating Intrusion Detection and Network Management", Network Operation and Management Symposium, 2002. NAOMS 2002. 2002 IEEE/IFIP, pp 329 – 44 (April 15 – 19, 2002).	
JP	C6	Abstract, D.G. Schwartz et al., "A Case-Based Approach To Network Intrusion Detection", Proceeding of the 5th International Conference on Information Fusion, 2002. Vol. 2 pp 1084 – 89 (July 8 – 11, 2002).	
JP	C7	Abstract, "Open Source Security: Opportunity or Oxymoron?" Computer, Vol. 35, Issue 3, pp 18 – 21 (March 2002).	
JP	C8	Abstract, Liu Dihua, et al. "Data Mining For Intrusion Detection", Proceedings ICII 2001 – Beijing 2001 International Conference on Info-Tech and Info-Net, 2001, Vol. 5, pp 7 – 12, (October 29 – November 2001).	
JP	C9	Abstract, Kai Hwang & M. Gangadharan, "Micro-Firewalls for Dynamic Network Security With Distributed Intrusion Detection", NCA 2001 IEEE International Symposium on Network Computing and Applications, 2001. pp 68 – 79, (October 8 – 10, 2001).	
JP	C10	Abstract, Wenke Lee Stolfo, et al., "Real Time Data Mining-Based Intrusion Detection", Proceedings DARPA Information Survivability Conference & Exposition II, 2001, DISCEX '01. Vol. 1, pp 89 – 100 (June 12 – 14, 2001).	

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

<b>Application No.</b>	09/648,211
<b>Filing Date</b>	August 25, 2000
<b>First Named Inventor</b>	John S. Flowers <i>et al.</i>
<b>Art Unit</b>	2131
<b>Examiner Name</b>	Gail O. Hayes
<b>Attorney Docket Number</b>	23327-06895

Sheet	3	of	3
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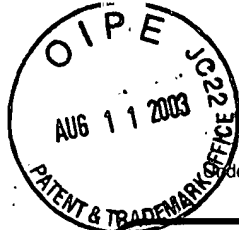
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				Art Unit	2131
				Examiner Name	Ayaz R. Sheikh
Sheet	1	of	1	Attorney Docket Number	23327-06895

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AM	A1	US-6,415,321 B1	07/02/2002	Gleichauf et al.
AM	A2	US-6,269,447 B1	07/31/2001	Maloney et al.
AM	A3	US-5,699,403	12/16/1997	Ronnen
AM	A4	US-5,557,742	09/17/1996	Smaha et al.
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OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>6</sup>	
AM	C1	"Microsoft Computer Dictionary Fifth Edition," 2002, 6 pages		
AM	C2	ANDERSON, TERESA, "Hunting for Holes," Security Management, Arlington, April 1996, 2 pages		
AM	C3	BREYFOGLE, STACEY, "Don't Stop at Your Servers," Software Magazine, Englewood, January 1998, pp. 1-3		
AM	C4	JOHNSON, JOHNA TILL, "Simulated Attack for Real Network Security," Data Communications, November 2, 1995, pp 31-32		

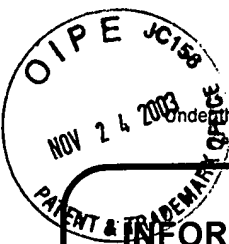
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		Art Unit	2131
Examiner Name	Aravind K. Moorthy		
Attorney Docket Number	23327-06895		
Sheet	1	of	1

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AM	A	US 6,609,205 B1	08/19/2003	Bernhard et al.
AM	B	US 6,484,315 B1	11/19/2002	Ziese

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23327/06895/DOCS/1390313.1

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